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ABSTRACT

This chapter of "Principles of School Business Management" examines the manager's role in an organization (particularly in a school district), organizational structure and environment, and behaviors and motivations of the groups and individuals who populate the organization. The chapter first addresses the personnel functions performed by the administrators responsible, reviewing personnel management goals and the importance and character of management behavior and leadership style. Eleven major functions of personnel management in educational administration (as listed by Castetter) are reviewed next, and appropriate practices to follow in performing each function are discussed. These 11 functions are (1) staff planning, (2) recruitment, (3) selection, (4) induction, (5) appraisal, (6) development, (7) compensation, (8) collective negotiation, (9) security, (10) continuity, and (11) information processing and dissemination. The chapter concludes with a look at the personnel being managed. Basic theories of motivation are reviewed. Twenty-one footnotes cite relevant references. (PGD)

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The Personnel Function: Practitioners, Practices and Participants

Donald L. Robson

Three primary variables interact in the management of all organizations: the manager (practitioner); the formal organizational pattern (practices); and the groups and individuals who populate the organization (participants). These three variables form the basis for consideration of the personnel function in this chapter. The manager will be the school business administrator, by whatever title that individual is known in his or her setting. The formal organizational pattern will be the structure of the organization, including its setting or environment, both internal and external. The groups and individuals who populate the organization are the "stuff" of personnel management. Their behavior and motivation will comprise the focus for discussion of this variable. This chapter will consider the personnel functions in a school district from a generic perspective. That is, the focus is managing personnel, not personnel management. A series of factors relate to characteristics and behaviors of the individual in a managerial role.

No two people fill the same role in exactly the same way. Specific views about employees, philosophies about authority and work, perceptions about one's own and others' obligations to the organization, values and personality characteristics, among other factors, will color the individual manager's relationship with the personnel who populate the organization. The status, power and responsibility associated with a managerial position require introspection, an understanding of one's own motives and an appreciation of one's own biases.

The "formal organization" is a well-known characterization of the planned pattern which structures the relationship among units and among formal roles in the organization. This planned pattern is intended to produce an internal environment which is functionally rational and which optimizes efficiency. The organizational chart diagrams the intended relationships of authority. The internal environment, however, also consists of the pattern of relationships which develop among human beings in response to the demands and expectations built into the planned pattern. This "informal structure" is discussed in this chapter as integral to the organizational pattern. Similarly, the organization articulates its external environment in both planned and informal ways. That is, certain formal and planned mechanisms of articulation exist, such as advisory committees, PTAs, purchasing and bid procedures, public relations practices, board of education agendas and others. In addition to these formal mechanisms, schools are subject, perhaps more than most public agencies, to informal environmental articulation. Demands for accountability and change, concerns about the cost of education and the level of taxation,

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individual and community value disputes and a host of other concerns reflect the amount of environmental turbulence with which the administrator must deal. These unplanned environmental intrusions are integral to the discussion of the organizational pattern.

In addition, however, to the practitioners of personnel management, or to personnel management practices, the personnel function must examine the individuals and groups which populate the organization. This chapter, then, deals with those factors which describe personnel and examines group and individual behavior in addition to unions, minorities, disabled and women as organizational participants.

Practitioners

Whether a school district is of sufficient size and wealth to employ a personnel manager, whether personnel is only one function of a central office administrator or whether no individual is specifically assigned the primary responsibility of personnel management for the district, the personnel function is a shared one. Any administrative role which operates as a line position is involved in personnel management. That is, whenever an administrator has responsibility for accomplishing the work of the organization through others who are subordinate, that individual has personnel functions.

A fundamental purpose of the personnel function is to facilitate the primary purpose(s) of the organization which it serves. Personnel functions should promote efficient progress toward the basic goal of the school district—the education of students. More specifically, the personnel function should promote the most efficient and effective operation of its individual unit within the organization. It should, therefore, be the goal of the administrator with personnel responsibility to

1) recruit and retain the most competent people for the job at hand;
2) assist in the individual development of competence to increase the productivity of employees;
3) assure that employees are assigned and utilized most efficiently, according to their skills, training and interests;
4) increase and improve employee satisfaction and adjustment to their work and the work place; and
5) clearly define work expectations and regularly and systematically evaluate performance in relation to those expectations.

Managerial Behavior and Leadership Style. In a very real sense, the managerial style and the administrative personality of the individual in the superordinate position will determine the extent and effect of the accomplishment of these personnel goals. That style may place greater importance on the tasks to be accomplished than on personal feelings. That style may be based on a view of the employee as one who must be watched and directed in order to perform adequately. The essence of the personnel function is found in the way the manager balances the needs of the organization with the needs of the employees. It is at this interface—the needs of the organization vis-a-vis the needs of the employees—that the three variables (practitioners, practices and participants) come together.

The needs of the organization have traditionally been the purview of management. Since the articulation of scientific management principles by Frederick W. Taylor, management has generally taken unto itself the planning function.[1] Imple-

menting ("doing") was separated from planning and allocated to subordinates after they had been trained in the proper methods. Thus, managers were seen as being uniquely responsible for planning the work to be done.

The bureaucratic model of organization describes a system which comprises the following general elements:

- Division of Labor
- Hierarchy of Authority
- Rules and Regulations
- Formalistic Impersonality
- Career Orientation[2]

Since virtually all complex organizations are bureaucratic in structure, a short discussion of this form is important.

Weber described efficient organizations as *rational*. These were designed to accomplish predetermined goals. Common to all such organizations was a division-of-labor scheme whereby complex tasks were broken down to allow for ease of training and the development of competence in task performance. This was possible due to specialization, which allowed increased technical competence. Such a scheme, however, gave rise to a need for greater coordination to ensure the quality and consistency of everyone's performance. Thus, bureaucracies provide a system of graded authority, arranged in a hierarchy, to establish such control. Because efficient organizations operate on norms of rationality, consistency and standardization are promoted to overcome the effects of human error, inconsistency, emotion and other sources of human variation. Rules and regulations normalize the operations of the organization and promote a standard form of treatment and behavior. Rules operate as much to constrain managers from making arbitrary decisions as they do to constrain great variation in employee behavior. Similarly, bureaucracies function under a system of formalistic impersonality wherein the manager exercises authority in an impersonal and universalistic fashion. The rational system asks only what is best to achieve the organization's goals. There is no room for personal considerations like love, hate, prejudice or other emotions in the decision-making process; decisions are to be made impersonally and rationally. Under such a system, the worker would develop technical competence through specialization. With this greater competence, the worker would rise in the organization to supervise the work of others and ultimately to assist in planning work as a manager. To avoid arbitrary dismissal of such valued employees and to encourage long-term self-investment of increasingly competent specialists, a system of tenure and seniority is generally found in bureaucracies.

The manager is charged with the task of keeping the organization running. The management function involves enforcing rules and regulations, making rational decisions which will maintain organizational equilibrium and keeping the operation from breaking down. Classical management principles articulated by Henri Fayol, Gulick and Urwick and others were based on the concept that the managing of work could and should be separated from the work itself. Managers were seen as being responsible for such organizational maintenance tasks as planning, organizing, supervising, directing, coordinating, reporting and budgeting.[3]

Under the rational, scientific management, bureaucratic or classical management perspectives, maintenance of the organization is a primary function of the administrator. People are hired as managers to make the organization operate the way it was intended to operate. Indeed, for some administrators the organization

becomes all important. The manager may take on a bureaucratic personality. The enforcement of rules becomes a personal goal, not a means to achieve an organizational goal. Some administrators seem to be preoccupied with accounting for paper clips and "playing it by the book" in all decisions. But it is important to understand that every member is charged with organizational maintenance. Every manager is responsible for how the organization operates and to what extent it accomplishes its goals. Managers who do not develop some "task" orientation will not be perceived as effective either by their superordinates or by their subordinates.

Likewise, it is important to understand that managers function according to their views of the fundamental nature of their employees. The fact that management must plan and direct the work to be done implies that those doing the work are not capable of or willing to plan and direct their own efforts. The concept that work can be broken down into specialized units which allow for ease of training and rapid development of competence, essentially devalues the worker as interchangable and expendable. The idea that managers direct, supervise, coordinate and so on presumes that workers must be watched, led and perhaps pushed to accomplish organizational goals. If an administrator assumes that people are by nature lazy, indolent and self-centered, there is no choice except to supervise closely such people, tell them everything that must be done and how and give them little or no responsibility. Trusting such people would neither be rational nor in the best interests of the organization. If, on the other hand, an administrator assumes that people are, by nature, responsible, ambitious and trustworthy, such people can be allowed to participate in decisions about their own jobs. They can be assumed to give "a fair day's work for a fair day's pay." They can be given responsibility and made to feel important in the organization. It is important that managers examine their own feelings about their employees and what they assume to be the fundamental nature of those whom they employ. The school business administrator typically deals with a wide range of district employees, from custodial aides to accountants. How each is treated may be a function of such assumptions.

McGregor's "Theory X" propositions about management include the need for directing, motivating and controlling the actions of employees to modify their behavior to fit the needs of the organization. Without this intervention, it is assumed that people would be passive or even resistant to the needs of the organization. In this view, then, they must be controlled through persuasion, reward, punishment or otherwise directed. His "Theory Y" propositions about management include the concept that people are not by nature passive or resistant to organizational needs but have become so as a result of their experience in organizations. McGregor says that the motivation, the potential for development, the capacity for assuming responsibility and the readiness to direct behavior toward organizational goals are all present in people. Management does not put them there.[4]

Indeed, Argyris, in discussing mental health problems in organizations says, "Most human problems in organizations arise because relatively healthy people in our culture are asked to participate in work situations which coerce them to be dependent, subordinate, submissive or to use few of their more than skin-surface abilities."[5] Healthy individuals in our culture tend to find dependence, subordination and submissiveness frustrating. As a result, says Argyis, they leave the organization (through absenteeism and turnover), they climb the organizational ladder, they become defensive or aggressive, they become apathetic, they form informal groups, they form unions and show other effects of such treatment both in their

work lives and in their lives outside work.

As managers examined alternative ways to work with people in the accomplishment of organizational goals, it became evident that when cooperation could be gained and when commitment was developed in workers, productivity almost always increased. Concern for subordinate welfare and employee needs began to be seen as a key element in effective supervision. Katz, Maccoby and Morse in a study of the home office of the Prudential Insurance Company, found that supervisors of high-productivity groups were more likely to be employee-centered than production-centered.[6] Similarly, they were more likely to exercise general rather than close supervision. Management behavior based on this kind of finding has led in many cases to a de-emphasis on "task" behavior and a greater emphasis on people. Some managers are expected, then, to maintain good worker morale and to strive to promote employee satisfaction in order to gain commitment and cooperation. These tactics are presumed to increase worker output and overall productivity.

Two major dimensions, then, of managerial behavior in relation to employees are: 1) the extent to which the manager focuses on the tasks which need to be accomplished by the organization; and 2) the extent to which the manager focuses on the needs of employees. Managerial behavior has been roughly viewed as being oriented toward one or the other of these dimensions in a variety of studies of leadership style. Managers with a human relations orientation focus on providing an organizational setting in which employees' needs for security, acceptance, recognition, status and self-fulfillment can be realized. When such needs can be fulfilled through work the employee will be more satisfied, have higher morale and be more productive on behalf of the organization. Many personnel practices grow out of this basic assumption, and many administrators operate from a democratic, participative decision-making perspective with subordinates.

Leadership and Styles. The need for structure and for consideration have been recognized in research on leadership. For a time the predominant view was that the effective leader should be concerned with both employee welfare (human needs) and productivity concerns (organizational needs). The studies conducted at Ohio State[7] which resulted in the development of the Leader Behavior Description Questionnaire, isolated these two dimensions as important determinants of effective leadership. Numerous studies conducted between 1945 and 1965 concluded that effective managers would be high in both dimensions.

Since the early 1970s, with the introduction of contingency theory, it has become evident that there is probably no one best way to supervise employees; that is, the situation determines the degree of structure or of consideration needed. In some cases, at some times, it is important to provide close and direct supervision and to focus on task performance. At other times and in other situations, more employee autonomy should be allowed and administrative support provided. The administrator's job then, is to recognize the differences in employee needs and abilities as well as the variations in the situation. Effective leaders will then be able to alter their style to accommodate these two factors.

Glickman's model of developmental supervision provides an excellent example of contingency theory.[8] The contingency factors which must be taken into account in this model are the ability and the commitment (needs) of the employee. A custodian with adequate ability who enjoys his or her job and takes pride in his or her work will require less direct supervision than one who has limited ability or who has low organizational commitment. Able individuals who must improve their

performance yet who care about the quality of their work can be treated in a more collaborative, supportive way than those who either do not care or who do not have the ability to improve on their own. A continuum of managerial behavior will range from very directive to very non-directive and will depend on a diagnosis of the situation.

Expectancy theory as a leadership model has perhaps the most directly applicable relevance for personnel management. It is the work of the manager to provide a system wherein subordinates can expect that greater effort will lead to rewards. Thus, how one treats others, the amount of structure or consideration provided and the abilities or commitment of employees are all factors which have to do with either performance or rewards. What managers must do is strengthen the level of expectation that real effort will produce improved performance and that improved performance will lead to the acquisition of meaningful rewards. It should be noted that such rewards may be either tangible or intangible, extrinsic or intrinsic. The specific elements of this approach are applicable across a wide variety of positions within the organization.[9]

Following are some suggestions that can help administrators strengthen the expectancy relationship (excerpted from *Personnel: The Human Problems of Management*, Strauss and Sayles, Prentice-Hall, 1980, pp 83-84.)

1) To strengthen the likelihood that increased effort will lead to higher performance:
   - Provide clear goals; that is indicate the nature of the performance desired (this is one element in structure);
   - Indicate how these goals are to be reached; for example through rules or training (another element in structure);
   - Make the work environment more pleasant (especially through providing support) so that work becomes easier;
   - Provide the tools, supplies and information needed to do the job;
   - Encourage the development of cohesive work teams and, through participation, obtain efficiency-improving suggestions from subordinates.
2) To increase the perceived likelihood that greater performance will lead to rewards:
   - Work with higher management to recast the reward and promotion (career) system, so that rewards and promotions more clearly reflect performance;
   - Provide rewards of their own; for example praise.
   - Redesign jobs so that completed work becomes a reward in itself;
3) To increase the feeling that the relationship between reward and performance is equitable, monitor the rewards, ensuring that:
   - Rewards are commensurate with performance;
   - Rewards are distributed fairly;
   - Employees have opportunities to participate in deciding how rewards are to be distributed;
   - Employees have their grievances heard when apparent inequities occur.
4) To increase the value of rewards in terms of satisfaction:
   - Encourage participation and initiative, thus facilitating the satisfaction of egoistic needs on the job;
   - Develop (or influence higher management to develop) adequate methods of feedback, so that employees can more accurately perceive the effort-reward relationship.

The types of behavior which may be characterized as leadership have been described by Getzels and Guba as a function of the interaction between role expectations and personality factors.[10]

The school business administrator's role carries with it a variety of expectations imposed by the organization, by superordinates, by subordinates and others. School business administrators are expected to focus on costs and benefits, budget

statements and ledger sheets, processes and regulations, contracts and laws. Often superordinates want numerical answers to complex problems. Allocating, valuing, dispensing and monitoring are expectations which are imposed on the school business administrator.

At the same time, individuals come to their roles with a personal history—a personality made up of needs and characteristics developed throughout life. A transaction between role expectations and personality needs occurs, resulting in the fact that no two people fill the same role in exactly the same way. To the extent that the individual's needs for acceptance, belonging and affection dominate the expectations of allocating, dispensing and monitoring, that individual will display a more personal, perhaps political behavior. To the extent that role expectations dominate the personality, that individual will display more impersonal, organizational (bureaucratic) behavior. School business administrators, by virtue of their role expectations, are apt to consider the world in cost/benefit terms. Efficiency goals often take precedence over other values. Such expectations and their impact on behavior should be understood by those who would assume such roles. The same interactions between role and personality should be considered in the management of subordinate personnel. Certainly, individuals who are given power over other individuals should be introspective enough to recognize the origins of their own behavior.

Practices

The history of personnel management in organizations is not a long one. Many school districts do not specify personnel functions as a separate administrative role. Among those that do, the function is often shared with other job titles, sometimes given to an assistant superintendent level, sometimes director level and sometimes is completely decentralized and allocated to other administrative positions.

Originally serving only a centralized record-keeping and employment function, personnel directors or managers were often "leftover veteran employees" or glorified functionaries with little responsibility and no authority. Gradually, with greater understanding of and importance given to employee problems and considerations, the personnel function has assumed greater importance.

The American Society for Personnel Administration (ASPA) published a brochure entitled "Careers in Personnel and Industrial Relations," which lists several major activities:

- Employment and Placement
- Training
- Labor Relations
- Wage and Salary Administration
- Benefits and Services

A list of the various responsibilities of personnel managers is included in the ASPA publication. It includes:

employment	retirement program
employee relations	labor relations
personnel records	organizational development
recruiting	communications

compensation
training and development
insurance
performance evaluation
safety
staff planning & forecasting
medical and first aid
recreation
legislative awareness
pension planning
protection and security
leisure activities
food services

Castetter lists eleven general functions of personnel management in educational administration. These include:

- Manpower Planning
- Recruitment
- Selection
- Induction
- Appraisal
- Development
- Compensation
- Collective Negotiations
- Security
- Continuity
- Information[11]

Staff planning places the personnel function squarely at the center of the organization. It requires that personnel considerations include the long-range goals of the organization, the mission of the organization, forecasts about changes over time, budgetary considerations and other factors which will influence the need for and characteristics of personnel. Community trend indicators, pupil enrollment projections, condition of facilities, current staffing patterns, projected service needs as well as anticipated costs and revenues are all planning considerations which affect the staffing needs of the system and for which data should be gathered and studies conducted. Staff planning requires a careful study of the system as it is and a projection of how it will be. It requires an assessment of all positions (position descriptions), the need for job design and redesign considerations, staffing patterns and staffing ratios, support personnel, administrative needs and current policies in force as well as needed policies. "The ultimate aim is to resolve key personnel decisions, including the types and number of people needed by the organization now and in the future. . . ."[12]

Wilbert Scheer credits Tom Bossard, assistant director of the school of business at Indiana University, with the following list of seven activities of a comprehensive personnel program:

- Research and Standards
- Employment
- Education and Training
- Safety and Health
- Employee Activities
- Wages and Salaries
- Benefits Administration[13]

Scheer adds labor relations to Bossard's list and categorizes these activities into three kinds of functions: keeping jobs filled, helping employees grow and administering necessary duties.

"Research and standards" conform to Castetter's staff planning category. Computer technology permits management to use employee records more effectively. In addition to personal data such as age, experience, education and training, it is

also possible to maintain a work history on employees. Where such information is kept, it is possible to develop staff profiles to answer a variety of questions helpful in planning. How many employees in what positions will be retiring by what years in the future? How many employees with what experience will be available to fill vacant positions or to be promoted? Who in the present workforce is interested or qualified for what other positions in the system? What projected shortages might be filled by retraining current employees?

This kind of personnel flow analysis, like cash flow analysis, allows the manager to maximize the human resources at the district's disposal. Such factors as changes in the supply and demand of labor play a significant role in planning. If a pupil projection forecasts a decline in enrollment of 30 percent over the next ten years, and if the impact of such a decline would necessitate the closing of several facilities, the demand for new employees in all capacities would be reduced. Similarly, the labor supply is affected by factors outside the manager's control even though recruiting may help to increase supply. Although a variety of variables interact to make prediction of labor supply a difficult process, demographics indicate that during the 1990s the supply of eighteen to twenty-four year olds will decline by fifteen percent and the supply of twenty-five to forty-four year olds will increase by twenty-five percent.

Research in the form of job analysis provides basic data about existing jobs in the system. These data go beyond simply listing the number of employees in various roles. Job analysis allows the manager to know the nature of the work and to clarify what people actually do in the jobs they perform. Two elements comprise the job analysis process: job descriptions and job specifications. Job descriptions focus on the content of the job. What tasks are performed? What specific responsibilities are a part of this job? Under what conditions is the work to be done? Job specifications detail the skills and background experiences the person must bring to the job. Strauss and Sayles[14] cite the U.S. Training and Employment Service, *Handbook for Analyzing Jobs* as an example of a complete job analysis format:

Components of Job Analysis:

- Job title, work location, salary range;
- Skill, experience, training and education requirements;
- Length of additional training required after employment;
- Previous jobs within the organization likely to qualify employees for this job;
- Jobs for which successful completion of this job qualifies employee;
- Analytical, technical and behavioral requirements: the kind of equipment to be operated (e.g., Mag. typewriter); interpersonal skills required (e.g., interviewing); technical knowledge required (e.g., linear programming); technical skills required (e.g., blueprint reading); physical skills required (e.g., to lift 50lbs 30 times per hour);
- Working conditions, such as cleanliness, noise, stress, travel, safety risks;
- Performance standards: for every type of skill and ability, it is important to specify both the frequency this skill will be used and the level of expertise required. A bookkeeper may use a computer check writing program infrequently and thus need a less developed capability than someone who runs checks weekly.
- Role relations: Who evaluates the employee? Who sends the employee directives that the employee must obey? To whom does the employee turn for supplies or information? Who depends on the employee for information?
- Time span of decision making and magnitude of discretion. A lower-level employee's work may be reviewed each day, whereas a manager's decisions may not be judged for a year or more. Some employees make decisions involving only a few dollars; others commit millions.[15]

The process of job analysis, typically done with interviews and surveys, will allow the manager to do more than gather information about the work. Assessments can be made about the appropriateness of existing job practices. Are all positions necessary, or has the organization unnecessarily created too many routine jobs? Can we find well-trained people to take on broader, less-specialized jobs? Should we consider reorganizing? Are jobs organizational units or have they become personalized? Individuals have a tendency to fill the role in personalized ways, with some expanding their responsibility and others restricting it. Are the standards appropriate for the position, or could the organization expect equal quality work from someone with less education and experience? Job design and redesign are products of the job analysis process.

Recruitment. By recruitment the necessary number and quality of employees are attracted to the system. Recruitment efforts are guided by immediate needs and long-range targets of the staffing plan and provide a pro-active method of assuring a pool of qualified applicants for work in the school system. Among recruitment activities are the following:

- a recruitment plan—for both professional and service personnel
- decisions about the number and type of personnel to recruit
- establishment of employment standards
- development of position guides
- preparation of forms—applications, information, notification and so on
- development of a recruitment budget
- management of recruitment correspondence
- systematization of screening procedures
- advertisement of internal and external vacancies

Keeping jobs filled is, of course, a primary personnel responsibility. The supply of qualified applicants and the organization's ability to attract them determine the success of the system as surely as the supply of money or materials. The process begins with recruitment which, to be effective, involves knowing the labor market and establishing contacts with sources of labor supply. When superintendents are hired in prestigious positions it is not uncommon that the labor market includes the entire country. Superintendents move from one state to another to take a job. On the other hand, more local sources (employment agencies, college and university placement offices, vo-tech school and so on) may provide primary sources of employee supply. Often recruiting takes on the character of public relations. During periods of oversupply, recruiting may not need to be done at all. However, in order to attract the best candidates or during times when there is an undersupply of labor, an important factor will be the organization's perceived attractiveness. Recruitment brochures and community information may help prospective employees feel good about the organization.

Selection. Selection of personnel has become a somewhat hazardous occupation. Selection processes must be devised which result in employment of the best possible candidate for the position but which provide for all the guarantees and protections to which applicants have a right. Factors involved in the selection process involve:

- describing the role expectations for the position
- assessing the personal characteristics needed to fit the role
- compiling appropriate information on candidates
- evaluating the candidate information in light of role and personal expectations
- rating the eligible candidates—perhaps interviews
- making the employment decision

- making the employment offer
- placing the employee in the most appropriate position

Application is usually the initial step in the employment process. It is also the first step in the selection procedure. The application format is an important tool in interviewing and selection.

The interview is an almost universal selection device. The interview provides an opportunity for the district to learn more about the applicant and for the applicant to learn more about the district. In practice, however, the interview may be the single most important selection component. Often the interviewer is looking for a "compatible" and like-minded candidate, and the interviewee has adopted a "choose me" attitude, trying to provide the responses that he or she believes the interviewer wants. Because there are no clear cut criteria for success or failure it is easy for the interviewer's prejudices to affect the assessment of candidate. It is during the application and interview process that care should be taken to assure that the employment rights of applicants are not violated.

Scheer lists nine areas in which the most common illegal application questions are asked:

1) **AGE:** The Age Discrimination in Employment Act prohibits discrimination on the basis of age against individuals between 40 and 65. Unless it is a qualification of the job, don't ask the age of an applicant until after hiring.
2) **HEIGHT AND WEIGHT:** The EEOC has found this question could be used to discriminate against women and certain nationality groups that fall below the American norm. The question could be job-related only if strength and height are valid job requirements.
3) **MARITAL STATUS:** After hiring is the proper time to ask this question for social security benefits and tax records.
4) **CITIZENSHIP:** Noncitizens are protected by the Civil Rights Act. Illegal aliens are not. You may, however, ask the applicant if he or she is in the U.S. legally and eligible to work.
5) **DATES OF SCHOOL ATTENDANCE:** Through this question an employer can reasonably estimate an applicant's age. You may inquire into an applicant's academic history, but requirements for even a minimal education must be substantiated as necessary to the job.
6) **DISABILITY:** You may only inquire whether any impairments would interfere with the ability to perform the job for which the applicant is interviewing. EEOC has jurisdiction over discrimination against the handicapped.
7) **ARRESTS:** An applicant's arrest record is no indication of guilt and historically minorities have suffered proportionately more arrests than others. A conviction record is not as clearly disallowed. To the extent that this question implies an absolute bar to employment, it is probably unlawful.
8) **MILITARY DISCHARGE:** This could be construed as indicative of minority discrimination since Defense Department statistics show that a higher percentage of minorities receive undesirable discharges. Asking whether an applicant has served in the military, however, is perfectly legal.
9) **NEPOTISM:** Questions about whether a candidate has friends or relatives in the district may reflect the district's intent of giving preference to friends or relatives and that, of course, would be discriminatory. If you ask the question because your firm has a rule against nepotism, you could be in violation because anti-nepotism rules appear to have an effect on women.[16]

Stated simply, the law requires that the selection process be designed to hire the most qualified worker—the best applicant for the job. Personal biases, stereotypes or favoritisms constitute denial of equal opportunities for more deserving appli-

cants. In addition, the district is shortchanged by the employment of a lesser qualified employee. In general, those illegal questions tend to provide little useful information and serve only to reinforce the interviewer's biases, not to establish the candidate's qualifications. The major factor relevant to the candidate's qualifications for the job is his or her *ability* to perform the work involved. This ability can be measured in a number of ways: educational attainment; specialized training; experience and tests of ability to augment other measures.

The organization operates better and more efficiently when its regular employees are present and *physically able* to perform. Hiring a healthy individual, one who has the physical capacity to perform the work is essential, but does not imply that the physically disabled should not be hired. A physical disability does not always imply a vocational handicap.

Physical and mental ability are necessary for a person to obtain a job but the motivation to use that ability constructively is more important. It is important, then, to assess the candidate's *attitudes* about work, values and aspirations, feelings toward others and general approach to life at work and away. A good attitude may be required in jobs which involve meeting the public or providing services. Attitude assessment is difficult and is often subjective. Impressions from what was said in conversation or how it was said are often the only indicators. Information, however, may be gathered about the reason an individual is changing jobs or left the last job. References and personal contacts can also provide attitude information. Whether it can be assumed that a candidate will remain on the job long-term is often a strong consideration. Turnover, absenteeism, training and the necessity to reselect are all costly to the district. But this factor should not be used to discriminate against women on the presumption that their family or spouses will take precedence over employment.

Discrimination in any area of employment is illegal. Minorities, women, veterans, the handicapped, children and the elderly are protected by legislation. State and federal statutes prohibit discrimination against applicants or employees on the basis of race, color, religion, national origin, sex and age. The Fair Labor Standards Act establishes minimum wages, overtime pay and child labor regulations and, in addition, treats the issue of equal pay for equal work. The Occupational Safety and Health Act (OSHA) covers safety and health of workers. The Employment Retirement Income Security Act (ERISA) protects the interests of employees and their beneficiaries in pension and welfare plans. The rights of workers to such relationships as collective bargaining and conflict resolution procedures are guaranteed by various state labor statutes. The general purpose of these laws is to offer an equal employment opportunity to anyone who is qualified and who wants to work.

Induction. The induction process is one way the school system can contribute to the acceptance and success of the new employee, at a time when the newly appointed staff member needs the most consideration, guidance and understanding. Induction spans activities of the pre-appointment and interim through the probationary period. Included in the process may be: letters of welcome, a "buddy system," a new employee brochure, a preliminary conference with the boss, handbooks and rules, perhaps a listing of housing and confirmation of employment conditions (salary, benefits, fringes, extra pay and so on).

During the induction period the new employee learns the philosophies, policies and styles of management. A good induction can help the employee avoid starting

off on the wrong foot. The first step in the process after the pre-employment period is the indoctrination: the "official tour" and review of employment procedures, such as working hours, length of lunch and break periods, location of various facilities, payday and method of payment, vacation and leave policies, holidays, employee activities and services and an overview of benefits.

Induction frequently includes a buddy system or a sponsor program in which the new employee is turned over to a senior employee who will help the newcomer become acquainted and assist him or her in gaining a feeling of belonging. The induction process may include a "drop in" late during the first day by the individual who interviewed the new employee. The reassurance of a familiar face can help the new employee overcome feelings of loneliness and fear.

While indoctrination occurs during the first day, orientation occurs later, perhaps once a month for all new employees; it is a group activity and is the district's attempt to provide official information to employees and answer questions after they have been around awhile. In many school districts, the induction process lasts through the end or the probationary period.

Appraisal. Performance appraisal judges an individual's past or present performance and should be designed as a mechanism to assist personnel to achieve personal as well as organizational goals. In most cases a due-process model is both workable and effective. Some combination of job description or job target discussion comprises a pre-appraisal conference. Observation of performance and recording of observations are generally used for feedback to the employee. A progress review or individual development (improvement) plan may also be part of the appraisal.

Evaluating employee performance is fraught with many problems. Most administrators are not trained to evaluate effectively. Many assessments focus on the personality of the employee rather than the performance. There are few valid instruments for appraising performance or value to the district. Appraisal often serves as the justification for demotion, termination or salary adjustment. This focus leads to employee defensiveness and does not provide a vehicle for constructive behavioral change. Increasingly, however, performance evaluation is being considered as input for the staff development program; this only becomes possible when evaluation procedures are linked to district-unit-position goals. As managers move toward a human resources perspective about employees, the employee becomes a co-worker with the manager's task to help employees perform optimally. Power is based on communication and cooperation rather than on coercion and fear. The personalized concept of people striving together replaces the mechanized and depersonalized bureaucratic ethos. As described earlier what the system or the administrator believes about employees will have a great effect on the way employees are treated.

Staff Development. Development programs are designed to continue the personnel function beyond locating and employing people for the organization. Development programs provide mechanisms for improving performance, developing skills and assisting in self-development of personnel throughout their employment with the system. In-service education, or staff development activities are most effective when tied to appraised needs of employees or to identified organizational needs. Staff development programs may be planned for all employee groups, from the board of education to those for service personnel. As in the provision of other types of services, a needs assessment process will identify activities and programs most

directly related to the needs of employees and the district. Managers should examine the personnel strengths, skills and expertise of current employees to identify "in-house" consultants who may be able to train others in the system. The use of external consultants is the most commonly employed strategy. Films, videotapes, training materials, professional publications and other forms of information should be examined for their long-term usefulness as staff development resources. Such activities frequently include only single-incident overviews designed to raise awareness levels rather than develop skills. The planner of staff development should carefully examine the purpose for which activities are intended. Skill development activities require very different and more long-term sessions than are typical of awareness-type activities.

Compensation. The compensation of personnel is generally a centralized function and most often a result of collective bargaining. Perhaps the most directly relevant function for the school business administrator, the compensation program typically involves wage and salary administration and administration of fringe benefits. Extra work payments (such as overtime wages and merit or incentive pay) are also part of the compensation program. Effective administration of the compensation program involves the need to relate positions in the system to one another and determine their relative importance; the relative importance is then translated into worth in money. Individuals within positions are then valued in terms of their position and performance contributions and paid according to a specified salary structure. This job evaluation system can help avoid serious disruption resulting from gross inequity over time.

A wage administration program based on a job evaluation plan consists of four stages:

- Stage I: job description
- Stage II: job evaluation
- Stage III: salary structure
- Stage IV: salary administration

The job analysis and job description process described earlier in the discussion of staff planning provides the basis for an effective compensation program. Job evaluation is a systematic method used to objectively determine the relative worth of jobs within the system. Each job description is rated separately on the basis of such factors as skill required, effort involved, responsibility ascribed and working conditions involved in the job. In some cases, a point value may be assigned to various factors. A ranking of jobs is then achieved. Ultimately, where a job ranks in relation to all others will be translated into dollars. A typical method for setting rates for jobs is to take a representative sample of various grades of jobs and price them in the marketplace. It is on the basis of such study that the school business administrator may contribute to the collective bargaining of wages and salaries of employees.

Wages and salary administration involve determining the amount of increments between grades or job categories, the frequency of salary increments or raises and the authority which will be given to determine advances and other adjustments to salary. Often, wages are bargained and salary administration is a matter of carrying out contractual provisions. Increasingly, however, school districts are considering "extra pay for extra productivity" through such systems as bonus plans or merit pay schemes. Such programs will bring with them increased complexity in salary administration and increased responsibility for the business manager.

Collective Negotiations, Security, Continuity of Personnel. Security needs of

employees have led them to struggle over the years to protect themselves, through various mechanisms, from the arbitrary use (abuse) of administrative power. To guard against threats to work security, employees have gained concessions from employers which have put in place a variety of protective devices. Collective bargaining, sometimes referred to more broadly as labor relations, is a function as often given to the school business administrator as to the personnel manager. Administering the bargaining process involves establishing goals and tactics for central administration. A second function involves collecting, storing, retrieving and using relevant data. Finally, the administrator is charged with contract administration as well as processing grievances. Other security provisions include continuing employment (tenure), retirement benefits, fringe benefits, unions and professional associations.

Scheer cites the biennial survey of the United States, in which the Chamber of Commerce lists five major types of fringe benefits that are offered to employees:[17]

- *Legally required payments:* old-age, survivors, disability and health insurance; unemployment compensation; workers compensation; railroad retirement tax and unemployment insurance; state sickness benefits insurance.
- *Voluntary or negotiated payments:* pension premiums; life insurance premiums; other death benefits; hospital, surgical, medical and major medical insurance; short term disability, sickness or accident insurance; long-term disability, salary continuation; dental and vision coverages; discounts on goods and services purchased; employee meals furnished or cafeteria subsidy; miscellaneous items such as cost of clinic, credit union, recreation.
- *Time away from job not deducted from pay:* paid rest periods, paid lunch periods, wash-up time; check cashing time; clothes changing time; get ready time.
- *Payments for time not worked:* paid vacations and payment in lieu of vacations; payment for holidays not worked; paid sick leave; paid leave for national guard or reserve duty, jury, witness or voting pay allowances; paid funeral leave; marriage leave; personal paid leaves of absence.
- *Other items:* profit sharing payments; Christmas bonuses or other supplemental compensation; service awards; suggestion awards; education expenses and tuition refunds; special wage payments ordered by courts, payments to union stewards, etc.

The job-security concern of most urgency to employees is, of course, the possibility of loss of income. Such salary continuation benefits as sick pay, disability insurance, health insurance, life insurance and retirement income are among the most important to employees. The cost of sick pay is absorbed by the district since weekly or monthly wages continue with no deductions. The other, much costlier items require the system to purchase insurance, making the cost of premiums equal to the value of the benefit.

Insurance premiums are a sizable amount of the cost of the benefits program, but the biggest cost to the system will probably be for time not worked. Every time an employee is excused from work without a commensurate loss of pay, the cost of this fringe is increased. In addition to sick pay and personal leave, these also include severance pay, "buy-outs" such as one month pay in lieu of notice, full pay while on jury duty, time off for voting, funeral leave and all types of other paid leaves of absence. The major items, for many classified employees, are paid vacations and holidays: a one-week paid vacation for everyone will cost $^1/_{52}$ of the total payroll. As the average time goes up so does the cost. The typical period is two weeks per employee ($^1/_{26}$ of the total payroll). Add to this the cost of paid holidays and it becomes obvious why these two benefits are the most costly. There are six generally recognized holidays: New Years Day, Memorial Day, Independence Day, La-

bor Day, Thanksgiving and Christmas. Most districts have added to these until the average number of paid holidays is ten. Taken together, fringe benefits cost the district a lot of money. They will range anywhere from 30 to 40 percent of payroll, yet they are so well known and accepted that they are generally expected and taken for granted.

Continuity of personnel service includes two types of activities. One type is concerned with the health, safety and mobility of continuing personnel; the second focuses on members who are voluntarily or involuntarily leaving the system. These activities include administration of leaves, substitutes, health service and insurance, safety on the job, promotion, demotion and transfer of employees; for those leaving the system the factors include procedures for separation, resignation, dismissal, lay-off, disability, retirement and death.

The health and safety of employees are of concern to the organization as much for humane as for economic reasons. Time lost to work due to physical illness or accident is a loss to the organization as well as to the employee. Many private sector companies require (and pay for) regular physical examinations, first aid on the job and even clinics for employees. Employer concerns about the health and safety of employees are also evidenced in such programs as anti-smoking or quit smoking campaigns (workers have sued for and won the right to a "smoke-free" work environment), alcoholism treatment programs and drug addiction prevention and treatment. More recently, stress and stress-related problems have been addressed. Similarly, "wellness" programs which promote mental and physical health have become popular as a new fringe benefit and as a preventive program for presumed employee health related programs.

The Occupational Safety and Health Act of 1970 (OSHA) requires all employers to protect and preserve human resources. Beyond this most organizations have come to recognize that such protections are not only the worker's right but are the right thing to do. Given the amount of social mobility in our society, not many employees stay their entire working lives with one employer. While most terminations are voluntary some are employer initiated. Some employees resign due to unhappiness or dissatisfaction with some aspect of the job or the system. Others leave to find what they perceive as a better job. The single biggest reason for leaving is, they feel, inadequate salary. In addition, dissatisfaction may be due to job pressure or to the attitude of management.

A small number of employees are fired from their jobs. Typically, the manager takes such action due to unsatisfactory performance or a bad worker attitude. The release of an employee for cause is generally preceded by warnings and attempts by the administrator to help the employee improve. Documentation both of the warnings (citing deficiencies) and the suggestions for improvement are primary elements in a due-process model of involuntary termination.

Other considerations in the "continuity of service" issue include severance pay, lay-off procedures, recall procedures and retrenchment policies (sometimes known as RIF). As school districts are confronted with declining enrollments and reduced revenues, the possibility of retrenchment must be addressed and discussed within this text. This involves painful adjustments such as reduction-in-force and school closings. Here, it is not only the marginal worker who is released, but also many capable and productive employees. Caring organizations will seek a variety of ways to assist employees. These might include attempts to absorb extra workers

into other jobs, assistance in applying for and finding jobs elsewhere, early retirement incentive programs and even job sharing programs.

Early retirement incentives typically involve some form of "buy-out" before the normal retirement age. Typical programs offer partial salary spread out over a year or more, along with extended benefits. Eligible employees will generally be required to have attained a qualifying number (i.e., 65) by a combination of age and years of service. In return, employees who accept the incentive are terminated from employment, receive the incentive payment and qualify for regular retirement at reduced rate or full rate depending on age and state retirement statutes. An advantage to the early retirement incentive is that reduction in the work force can occur at the high cost end of the salary scale. In addition, early retirement involves employee choice rather than forced termination and represents a demand option which may be viewed by employees as a fringe benefit rather than a penalty. Finally, early retirement incentive programs may provide the opportunity for school districts faced with aging staffs to infuse "new blood" into a potentially stagnating system.

On the other hand, early retirement incentive programs are optional, not mandatory. While the number of employees is reduced, there is no way to control which employees will choose to exercise their option, and there is no guarantee that the most expendable employees will choose to retire. Perhaps more importantly, the long-range costs of such a program are not clearly understood. It seems clear that if early retirees are allowed to remain in insurance groups the premium costs of such insurance will rise for the entire group. Similarly, the long-term commitment of dollars to the support of past employees may result in "blind commitments" which the district may not easily be able to maintain later.[18]

The Information System. The information system of personnel administration facilitates the search for processing and dissemination of information useful to problem solving and decision making. Design and maintenance of an information system provides the vehicle for recording and reporting information about people in the organization. The management information system helps maintain stability and growth in the system, is used for allocating and managing scarce resources, evaluating the consequences of organizational changes and understanding, monitoring and explaining programs more thoroughly. Computer capability greatly facilitates the use of a management information system.

Participants

In many ways the theories of management of organizations have proceeded from assumptions about the humans who populate these enterprises. Whether one proceeds from a classical approach to management, a human relations approach, a human resources approach, a socio-political perspective, an open systems view or a contingency theory of management the basic assumptions which govern the approach are those which seek to explain worker motivations. Are employees motivated by fear and greed, by social rewards, by the need for achievement, by informal group norms, by higher order Maslowian needs, by the process of social exchange, by clearly communicated expectations, by intrinsic or extrinsic rewards?

Clearly the meaning of work has changed in our society. From a time when an agrarian society formed a concept of work as noble and purifying, through an industrial view of work as alienating and dehumanizing, the concept has taken on new meanings to different generations. No longer do people gain their identity by their work. Indeed, Robert Dubin wrote that for most people, work is not their central life interest.[19] Likewise, Robert Presthus described three types of adjustment to organizational life as: 1) upward mobiles, 2) indifferents, 3) ambivalents. Upward mobiles are those who "buy into" the work place, receive their rewards from work and strive for more. Ambivalents are those who want the organizational rewards, but will not or cannot conform in order to get them. Indifferents are those who find rewards elsewhere. Work is a means to some other end in life. These people do not "live to work," they "work to live."[20] Presthus, like Dubin, says that indifferents comprise the greatest percentage of the modern workforce. Whether one assumes, then, that the American work ethic is dead or has been changed, it is important to try to understand why people work and what rewards are most meaningful to them.

Early in the history of managerial thought, it was assumed that workers were primarily economically motivated. The genesis of such motivation was seen as greed. People could be enticed to increase their performance through such incentives as piece-work pay. Bonus plans, merit pay schemes and other extra pay for extra work plans are based on the concept that worker motivation is a function of economic rewards.

The alternative to financial incentives was coercion; workers whose productivity could not be stimulated through financial incentives were thought to be lazy and would need to be forced to perform. Thus, greed and fear were thought to be the major motivators of workers. Coercion is still considered to be a major motivating force by many managers.

The human relations movement saw worker motivation as a function of individual personal needs satisfaction. Basing theories of motivation on the work of Abraham Maslow, Douglas McGreggor, Frederick Hertzberg and others, the human relations advocates assumed that worker productivity was a function of satisfying personal needs and thereby increasing satisfaction with work. Workers were thought to be motivated by democratic management and participatory decision-making practices. Social and psychological rewards replaced greed and fear as the predominant motivators of interest. "A satisfied worker is a more productive worker" is the credo of the human relations manager.

Human resources concepts of motivation are similar to those of human relations, but with a subtle twist. If the assumption about worker motivation is that productivity is a result of satisfaction, then the manager's task is to provide a work environment where worker satisfaction will be maximized. The body of research, however, is equivocal in terms of the relationship between productivity and satisfaction. It is clear that some relationship exists, but not the direction of that relationship. Human resources managers assume that people derive their greatest satisfaction from their accomplishments (productivity). That is, when people achieve, perform, accomplish their work effectively, they derive satisfaction and their morale is improved. Under such a perspective, the task of the manager is to help the employee achieve better results. The manager becomes a facilitator to assist the worker to achieve greater effectiveness. From such accomplishments the

worker will derive satisfaction. Figure 11:1 describes the nature of these assumptions about the motivation of workers.

Figure 11:1 Theoretical assumptions about the motivation of workers.

Theory	Motivator	Presumed Outcome
Early theories (Scientific Management, Classical Mgt.)	Greed/Fear	increased productivity
Human Relations	social rewards satisfaction	increased morale and productivity
Human Resources	increased effectiveness (productivity)	increased satisfaction and morale

Etzioni's classification of organizations on the basis of the type of compliance on which they rely is a useful conceptualization of worker compliance. Three types of compliance are identified: 1) coercive, 2) utilitarian and 3) normative.[21] Coercive compliance is, of course, given only in response to the use of or the threat of force. Coercion acts as a motivator when employees perceive that the power of the administrator will be used in a punitive way unless they conform. Utilitarian compliance is given when employees perceive that the conditions of exchange (what's in it for me?) operate in their favor. Such compliance is simply a bargain between the organization and the employee. Normative compliance is given when the employee accepts the values and norms of the organization or manager as congruent with his or her own and willingly complies out of a sense of commitment and devotion.

This sense of willing compliance is used by Weber in his description of authority. Weber distinguishes the power relationship from the authority relationship between the manager and the worker. Power is described as the ability of the manager to impose his or her will on the subordinate, *despite resistance*. Power is vested in the manager and is imposed downward on the employee. Authority, on the other hand, is described as having an element of willing compliance. This willingness to comply, to suspend one's own criteria of judgment in favor of that of the manager, implies that authority is vested in the subordinate—the subordinate grants the manager legitimacy by his or her willingness to comply. It is this willingness, this normative compliance, that distinguishes leaders from those who are simply organizational officers.

Finally, the administrator must take into account the effects of culture on employees. Employee characteristics such as sex, race, ethnicity, handicapping conditions, religious orientation, age and more recently even life style have become important factors in relation to understanding and addressing employee motivation and needs. Affirmative action mandates, civil rights statutes and fair labor practices acts have mandated universalistic treatment of individuals. As cultural norms have changed, it has become increasingly important for the employer to develop greater understanding of the individual human needs of employees in terms of motivational factors, as well as demonstrate simple consideration and humanity.

Summary

Personnel management is as much the purview of the school business administrator as it is of any administrator in the district. Those who are charged with responsibility for the work of the organization and who must accomplish it through the efforts of others are personnel mangers in the broadest sense. Successful and effective managers will possess an understanding of themselves, the organization and their employees. This chapter has attempted to describe some understanding from a theoretical point of view about each of these elements. While the role of the school business administrator may incorporate only some of these elements, this chapter has described the personnel function in a "generic" sense.

In the world of the school business administrator, everything translates into either revenues or expenditures. Indeed, the major function of the school business administrator is to serve as the steward of the organization's funds. Budgeting, purchasing, payroll, cost accounting and other functions typify this stewardship. Increasingly the school business administrator is expected to have obtained expertise which manages the school district's money and, in some cases, adds to revenues through cash-flow management and investment strategies. This process of "revenue management" involves technical skills and knowledge of economic and legal principles and practices. The process of "expenditure management" is perhaps the more typically understood aspect of the school business administrator's job. Budget preparation, forecasting and estimating, cost accounting, purchasing and paying the bills are all elements of such a function.

Several reasons exist why the school business administrator should possess an understanding of important elements of personnel management. First, every administrator who has subordinates, whether a line or staff administrator, also has a personnel function. The school business administrator, like all other district administrators must learn the human side of the enterprise. That is, such aspects as recruiting and selection, induction, appraisal, staff development and compensation are important determinants of the morale and the effectiveness of employees. The administrator who has attempted to change from a pencil-and-paper to a computer-office operation will understand the impact of individual needs, fears, expectations and other personality factors on performance. The management of an effective and efficient business office requires that the manager utilize effective personnel management practices. An understanding of employee motivation and worker satisfaction will assist the school business administrator in providing a work climate conducive to optimum performance within the business office as well as with other employees under the manager's direction.

In addition, labor-intensive service organizations such as the public schools allocate between 80 and 85 percent of their operating budget to personnel. Every administrator in the system serves some personnel function and every personnel function may be translated into expenditures. Each personnel function should be understood and appreciated by the school business administrator.

Finally, it is important that the school business administrator understands effective personnel practices since several functions designated as personnel practices are often assigned to the school business administrator. Those elements identified as having a direct impact on the business function include: compensation, insurance, safety, retirement programs, labor relations, pension planning, protection

and security and sometimes, food services. The impact of such functions is so direct in terms of expenditures that many districts designate these as specific functions of the school business administrator.

Aside from managing these and other "personnel" functions which directly impact the business operation, the school business administrator should have such understanding to design an overall district financial plan which adequately reflects support of such district needs. Allocating involves valuing. Valuing involves understanding the relative worth of various elements. In these days of recision economics, it is important that the "recision-makers" understand the effects on the system and that such processes be consciously arrived at, rather than occuring as unanticipated consequences of a haphazard procedure.

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